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**Elizabeth G. Eager**

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**From:** Elizabeth G. Eager  
**Sent:** Friday, September 17, 2010 9:36 AM  
**To:** 'Wise, Jr., Robert F.'; 'Aoyagi, Melissa T.'  
**Cc:** Steven J. Rosenwasser  
**Subject:** TASER/ Morgan Stanley Traders  
**Attachments:** Word Document(23).pdf

Bob and Melissa,

I write regarding Morgan's identification and production of documents from traders. For clarity because there are different types of traders, this email covers all categories of trader emails.

This email is divided into three sections: (1) identification of traders; (2) time period for ESI searches; and (3) keywords for ESI searches. Further, for purposes of this email, the term "transactions" shall refer to any purchases, sales, loans, borrows, conversions, reverse conversions, options, flex options, transfers, swaps or flips.

**Identification of Traders**

Plaintiffs request that DBSI identify two categories of "traders": (1) proprietary traders who were involved with TASER transactions and (2) traders responsible for the accounts of certain market participants who were involved with TASER transactions.

*Proprietary Traders*

We request that you identify and produce ESI from proprietary traders who were involved with TASER transactions.

*Traders Responsible for the Accounts of Certain Market Participants*

Plaintiffs request you identify traders responsible for accounts of market participants identified in the attached document.

**Time Periods**

For both proprietary traders and market participant traders, we are willing to consider time period limitations for periods of de minimis trading. We do, however, need to define what de minimis trading is. Whether trading is de minimis has two components: (1) the number of trades made during a period and (2) the number of shares traded. Instead of attempting to define what de minimis trading is in a vacuum, we think it makes more sense for you first to identify the traders. Then, we will work in good faith to exclude de minimis periods.

For periods of non-de minimis trading, we ask that you search the time period from 30 days before the first trade in the time period until 30 days after the last trade in the time period.

**Keywords**

We propose that the following keywords be used on all traders.

- TASER
- TASR
- 87651b104
- "reg\* sho" or 3370
- (borrow or fail) w/20 negative

- (without or fail\*) w/5 (locat\* or delive\* or receiv\*)
- violat\*
- short w/10 (naked or abusive)
- (short or fail\*) and excess or (hard w/5 account)
- Name of market participant for which trader is responsible (e.g., Atlas; Galleon; SAC) (for traders responsible for a market participant).

Thank you for your time and attention to these matters. Please let us know if you have any questions. We look forward to hearing from you

Thanks,  
Liz

**Morgan Stanley**

1. AISLING PARTNERS LLC
2. AMARANTH LLC
3. AQR CAPITAL  
AQR ABSOLUTE  
AQR CAPITAL MANAGEMENT LLC  
AQR CAPITAL MGMT A/C GS CALEL
4. ARGONAUT CAPITAL MANAGEMENT  
ARGONAUT ASIAN EQUITIES PARTNERSHIP, LP  
ARGONAUT PARTNERSHIP, L.P.  
ARGONAUT INVESTMENT FUND, LTD  
ARGONAUT GLOBAL EQUITIES PART- NERSHIP, LP  
RICK FAGAN  
JOHN TRAMMEL  
ANTHONY STOCKS
5. BLACKROCK ADVISORS, LLC  
BLACKROCK FINANCIAL
6. BLUE RIDGE CAPITAL LLC  
BLUE RIDGE CAPITAL EXECUTION  
BLUE RIDGE CAPITAL GROUP  
BLUE RIDGE LIMITED PARTNERSHIP  
BLUE RIDGE OFFSHORE MASTER LIMITED PARTNERSHIP  
RICHARD BELLO
7. BLUE ZETA CELL
8. BOGLE INVESTMENT FUND LP  
BOGLE INVESTMENT MANAGEMENT  
BOGLE INVESTMENT MANAGEMENT LP  
BOGLE INVESTMENT MANAGERS  
BOGLE INVESTMENT MGMT  
BOGLE OFFSHORE OPPORTUNITY
9. BRIDGER MANAGEMENT  
BRIDGER MANAGEMENT, LLC. EXECUTION  
BRIDGER MANAGEMENT, LLC.
10. CANNELL CAPITAL MANAGEMENT

11. CHILTON PARTNERS  
CHILTON INVESTMENT COMPANY  
CHILTON GLOBAL PARTNERS, LP  
DESPINA SYMEONIDES  
CHILTON INTERNATIONAL, L.P.  
GREGG ROY  
CHILTON SMALL CAP INTERNATIONAL, LP  
CHILTON SMALL CAP LIQUIDFUND, L.P.  
CHILTON SMALL CAP PARTNERS, LP
12. CRABEL CAPITAL MANAGEMENT LLC  
WILLIAM (TOBY) CRABEL – FELSKÉ
13. COATUE MANAGEMENT
14. COUGAR TRADING, LLC
15. DYNAMIC CAPITAL MGMT
16. FOX POINT CAPITAL MANAGEMENT LLC
17. GALLEON PARTNERS LP  
GALLEON CAPTAIN'S OFFSHORE, LIMITED  
GALLEON CAPTAIN'S PARTNERS, LP  
GALLEON MANAGEMENT LP  
VOULA DIACUMAKOS  
GALLEON COMMUNICATIONS PARTNERS, L.P.  
GALLEON EMERGING TECHNOLOGY OFFSHORE LTD.  
POLARIS PRIME TECHNOLOGY (CAYMAN) LP C/O GALLEON PARTNERS, L.P.
18. GOTHAM ASSET MANAGEMENT  
GOTHAM ASSET MANAGEMENT (MASTER) L.P.  
GOTHAM CAPITAL V. LLC.  
GTHAM CAP V MS
19. HBK INVESTMENTS  
HBK EXECUTION  
HBK MASTER FUND - STATARB  
HBK SERVICES LLC  
HBK MASTER FUND, LP  
HBK  
HBK Long Sales  
HBK Tracked Strategy  
HBKDOM

HBK US STAT ARB  
HBKSA  
Mike Rangle

20. HHMI LLC

21. HIGHSIDE CAPITAL EXECUTION  
HIGHSIDE CAPITAL PARTNERS, LP  
HIGHSIDE OFFSHORE LTD  
HIGHSIDE MANAGEMENT, LLC  
HIGHSIDE CAPITAL PARTNERS II, LP  
ELIZ MURRAY

22. HIGHBRIDGE CAPITAL  
HIGHBRIDGE CAPITAL CORPORATION  
HIGHBRIDGE CAPITAL MANAGEMENT LLC  
HIGHBRIDGE CAPITAL MNGT LLC

23. HINTZ HOLMAN & ROBILLARD  
HINTZ HOLMAN HECKSHER

24. HOUND PARTNERS, LLC  
HOUND PARTNERS OFFSHORE FUND, LP  
HOUND PARTNERS, L.P.  
HOUND CAP (TIGER)  
JOHNATHAN AUERBACH

25. INTREPID CAPITAL MANAGEMENT  
INTREPID CAPITAL FUND (OFFSHORE) LEVERAGED MASTER, LTD.  
INTREPID CAPITAL MGMT INC  
INTREPID CAPITAL FUND (QP) LP  
INTREPID CAPITAL FUND- OFFSHORE, LTD  
INTREPID FUND MGMT, LLC

26. KINGSFORD CAPITAL PARTNERS LP  
KINGSFORD INTERNATIONAL

27. KOCH INDUSTRIES

28. LANEXA MANAGEMENT LLC  
LANEXA GLOBAL MANAGEMENT, LP  
LANEXA GLOBAL MASTER FUND, LTD

29. LONE PINE CAPITAL

LONE PINE CAPITAL ADVISORS,  
LONE PINE CAPITAL MANAGEMENT  
LONE BALSAM, L.P  
LONE CYPRESS, LTD  
LONE KAURI, LTD.  
LONE PINE CAPITAL LLC  
LONE SEQUOIA, L.P.  
LONE SEQUOIA, L.P.  
KERRY A. TYLER  
KEN SMITH

- 30. MAGNETAR CAPITAL  
MAGNETAR CAPITAL LLC  
MAGNETAR CAPITAL PARTNERS LP  
MAGNETAR FINANCIAL LLC  
MAGNETAR INVESTMENT MANAGEMENT LLC  
MAGNETAR1  
MAGNETAR2
- 31. MORGENS, WATERFALL, VINTIADIS & COMPANY, INC.  
PHAETON BVI  
HEMISPHERE MANAGEMENT LTD  
MELISSA MILANO  
PHOENIX PARTNERS II  
PHOENIX PARTNERS L.P.  
PHOENIX PARTNERS III
- 32. NORDEA  
NORDEA BANK AB (PUBL)  
NORDEA BANK FINLAND PLC
- 33. OXFORD ASSET MANAGEMENT  
OXFORD ASSET MGMT. COMPANY LTD  
OXFORD ASSET MGNT CO. LTD
- 34. PEQUOT CAPITAL MANAGEMENT INC.  
PEQUOT PARTNERS  
PEQUOT SCRS FUND, LP  
PEQUOT MARINER MASTER FUND, LP  
PEQUOT SCOUT FUND LP  
PEQUOT SF FUND, L.P.  
FOCUS 700 LTD.  
PEQUOT GLOBAL MARKET NEUTRAL MASTER FUND, LTD.  
LYXOR/PEQUOT GLOBAL MARKET NEUTRAL FUND LIMITED

PEQUOT NEW RIVER MASTER FUND, LTD  
RAYTHEON MASTER PENSION TRUST - PEQUOT ENHANCED EAFE MN  
RAYTHEON MASTER PENSION TRUST - PEQUOT GLOBAL XUS MN

35. S.A.C. CAPITAL ADVISORS  
S.A.C. CAPITAL ADVISORS LLC  
S.A.C. CAPITAL ASSOCIATES LLC  
S.A.C. MULTQUANT FUND LLC  
S.A.C. SELECT FUND LLC  
SAC CAPITAL  
SAC CAPITAL ADVISORS  
SAC CAPITAL ASSOCIATES  
CR INTRINSIC INVESTMENTS
36. STEADFAST CAPITAL LP
37. STEP LLC
38. THE VANGUARD GROUP, INC.  
VANGUARD INDEX TRUST FUND  
VANGUARD INVESTMENT CO. TOTAL STOCK MKT TRUST (125)  
VANGUARD CSFB  
MICHELLE MADSON  
VANGUARD VIT-SMALL GAP GROWTH (861)  
VANGUARD A/C INST TOTAL STOCK A/C VITSM/C3  
VANGUARD INV. AUSTRALIA LTD.  
EQUITIES VANGUARD INVESTMENTS AUST LTD  
VNGRD EXTD MRK STOCK  
VNGRD TT STK MRK STK
39. THOR TRADING
40. TIGER MANAGEMENT LLC  
TIGER PARTNERS  
TIGER GLOBAL LTD  
TIGER GLOBAL MANAGEMENT, LLC  
TIGER GLOBAL,LP EXECUTION  
TIGER GLOBAL II, LP  
TIGER GLOBAL MANAGEMENT LLC EXECUTION  
ROBERT BASTONE  
TIGER MANAGEMENT EXECUTION  
TIGER TECHNOLOGY EXECUTION  
TIGER GLOBAL LP  
STEVE OLSON



- 41. TURNER INVESTMENT PARTNERS INC
- 42. TWO SIGMA INVESTMENTS LLC
  - TWO SIGMA FUND, LP
  - TWO SIGMA LLC
  - TWO SIGMA EQUITY PORTFOLIO, LLC
  - TWO SIGMA SPECTRUM PORTFOLIO, LLC
  - TWO SIGMA PARTNERS MASTER FUND, LTD.
  - TWO SIGMA CONSTELLATION US MASTER FUND, LTD.
  - TWO SIGMA JUPITER PORTFOLIO, LLC
  - JOHN OVERDECK
- 43. VIKING GLOBAL INVESTORS LP
  - VIKING GLOBAL EQUITIES LP
  - VGE III PORTFOLIO LTD
- 44. ZEBRA CAPITAL MANAGEMENT LLC
  - ZEBRA CAPITAL